

Docket No. 205200US2PCT



2166  
JAW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Yuji UENOHARA, et al.

SERIAL NO: 09/807,963

GAU: 2166

FILED: June 1, 2001

EXAMINER:

FOR: SYSTEM FOR EVALUATING PRICE RISK OF FINANCIAL DERIVATIVE, DEALING SYSTEM, AND  
RECORDED MEDIUM

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☐ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the claims and drawings of the pending application(s) is attached.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

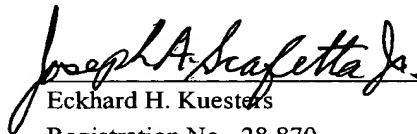
- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☒ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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(OSMMN 05/03)

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**LIST OF RELATED CASES**

| <u>Docket Number</u> | <u>Serial or<br/>Patent Number</u> | <u>Filing or<br/>Issue Date</u> | <u>Inventor/<br/>Applicant</u> |
|----------------------|------------------------------------|---------------------------------|--------------------------------|
| 205200US2 PCT*       | 09/807,963                         | 06/01/01                        | YUJI et al.                    |
| 248323US2            | 10/768,444                         | 02/02/04                        | MURAKAMI et al.                |

\*Present Application; listed for information

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